

IFW

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
17079

In Re Application Of: **Junji Yamauchi, et al.**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/676,210	October 1, 2003	Unassigned	23389	2874	9725

Title: **OPTICAL MULTI-DEMULTIPLEXER**



Address to:  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

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**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **19-1013/SSMP** as described below.
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**Thomas Spinelli**

\_\_\_\_\_  
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\_\_\_\_\_  
Signature

Dated: November 29, 2004

Thomas Spinelli  
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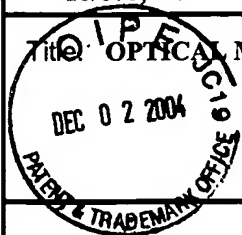
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☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicants:** Junji Yamauchi, et al. **Examiner:** Unassigned  
**Serial No:** 10/676,210 **Art Unit:** 2874  
**Filed:** October 1, 2003 **Docket:** 17079  
**For:** OPTICAL MULTI-DEMULTIPLEXER **Dated:** November 29, 2004  
**Conf. No.:** 9725

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. Japanese Patent Application Publication No. 2002-202420, dated July 19, 2002, together with English-language Abstract;
2. Japanese Patent Application Publication No. 2002-148458, dated May 22, 2002, together with English-language Abstract;

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 29, 2004.

Dated: November 29, 2004

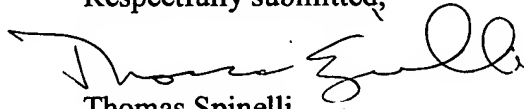
  
Thomas Spinelli

3. Japanese Patent Application Publication No. 2002-14243, dated January 18, 2002, together with English-language Abstract;
4. International PCT Patent Application Publication No. WO 02/069007 A1, dated September 6, 2002; and
5. United States Patent Application Publication No. 2003/0026544 A1, to Lin, dated February 6, 2003.

The references were cited in a Search Report dated October 6, 2004 received from the European Patent Office. Applicants are submitting copies of reference numbers 1-4, together with a copy of the Search Report. In accordance with the waiver of 37 C.F.R. § 1.98 (a)(2)(i) in effect as of June 30, 2003, applicants are not required to submit a copy of the above-cited U.S. Patent reference. The relevance of the above-identified references has been described in the Search Report. Also enclosed herewith is a Statement Pursuant to 37 C.F.R. § 1.704(d).

Further, the undersigned hereby states that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,



Thomas Spinelli  
Registration No. 39,533

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicants:** Junji Yamauchi, et al. **Examiner:** Unassigned  
**Serial No:** 10/676,210 **Art Unit:** 2874  
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**For:** OPTICAL MULTI-DEMULTIPLEXER **Dated:** November 29, 2004  
**Conf. No.:** 9725

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**STATEMENT PURSUANT TO 37 C.F.R. § 1.704(d)**

Sir:

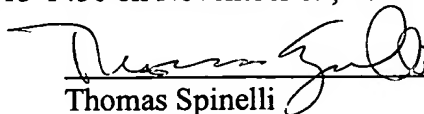
I hereby state that each item of information contained in the Information Disclosure Statement submitted herewith was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

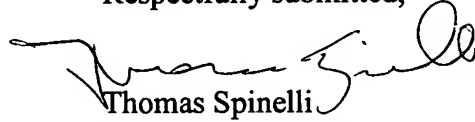
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Dated: November 29, 2004

  
Thomas Spinelli

Therefore, this Information Disclosure Statement cannot be considered a failure to engage in reasonable efforts to conclude prosecution of the application under paragraphs (c)(6), (c) (8), (c) (9), or (c) (10) of 37 C.F.R. § 1.704.


Respectfully submitted,

A handwritten signature in black ink, appearing to read "Thomas Spinelli", is written over the printed name.

Thomas Spinelli  
Registration No. 39,533

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	Docket Number (Optional) <b>17079</b>	Application Number <b>10/676,210</b>
	Applicant(s) <b>Junji Yamauchi, et al.</b>	
	Filing Date <b>October 1, 2003</b>	Group Art Unit <b>2874</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		2003/0026544 A1	2/6/2003	Lin			

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
		2002-202420	7/19/2002	Japan				
		2002-148458	5/22/2002	Japan				
		2002-14243	1/18/2002	Japan				
		WO 02/069007A1	9/6/2002	PCT				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

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EXAMINER	DATE CONSIDERED
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**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.